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ABSTRACT

This document conceptualizes the university as a living social system with technical, managerial, service, and institutional subsystems that have specialized goals. The document discusses models of university compliance systems--the compliance of university participants in different models such as formal, semiformal, and informal. In developing these models, the report makes observations about the organization and administration of a complex university and about the orientation of university participants. The compliance subsystems developed provide a framework for understanding and predicting the behavior of university participants and for achieving an overall view of the institution while focusing on a single area or segment. (Author/JE)

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A SYSTEMS APPROACH TO  
UNIVERSITY ORGANIZATION

by  
John Andes

U.S. DEPARTMENT OF HEALTH, EDUCATION & WELFARE  
OFFICE OF EDUCATION

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Institute of Higher Education  
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## FOREWORD

The administration of universities offers a fertile field for research. Universities have grown in complexity within recent decades. University administrators have found increasing difficulties in understanding and grappling with tumultuous behavioral problems within the past decade. Consequently, there is much need for research efforts designed to help university administrators understand and conceptualize their leadership roles. The research described by Professor John Andes herein was aimed at conceptualizing the dynamics of university administration.

Professor Andes work is of a theoretical nature. Concepts from general systems and compliance theories were employed in conceptualizing the behavioral dynamics within the organization of the university. The results of four empirically oriented studies of university administration were also employed in the process of describing the university as a social system. The result was a very useful description of the internal compliance system of complex organizations.

The study results should be of much interest to university administrators and professors of higher education administration. The findings give practicing administrators a framework for understanding the university as a social system. Thus they can approach their tasks from a conceptual perspective as opposed to a hit-or-miss, trial-and-error view. Approaching his task from this theoretical view, the practicing administrator will be able to improve upon and provide new knowledge which was not available in Dr. Andes' seminal study. Finally, the series of untested observations provided by Dr. Andes should be of much value in generating further research by professors of higher education administration.

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## CHAPTER I

### Introduction

Higher education in the United States has undergone rapid growth during the past thirty years. Enrollments have almost tripled, institutions are being founded at the rate of one a week, and the size and complexity of these institutions has increased even more. This rapid growth has created a need for new administrators and faculty members that the universities were not prepared to supply. As a result, many administrators were selected from business, politics, and the military, often without regard for their academic interest or knowledge. They brought their varied backgrounds to the campus where they usually began to manage the university using their previous non-academic experiences as a base for their approach.

These pressures of growth are felt most at the large public multi-purpose universities, some of which have grown to over 45,000 students. Due to a shortage of qualified faculty too large a portion of the undergraduate education at such institutions is being carried on by graduate students, rather than by experienced professors.

Faculty and student militancy has increased significantly within the past decade. During the 50's frequently called the generation of apathy, students came to college, were exposed to an educational program and left. The decade of the 60's has seen a different student body; one that is concerned about and desires to be involved in social, moral, political issues of the times, and another group that shows a withdrawal. Members of the faculty have begun to demand a voice in the process of decision making and many institutions have been forced, or have willingly made significant changes in this direction. This demand for faculty and student participation has created additional problems for administrators who have little experience or preparation in cooperative decision making. (18)

In addition to the faculty and student pressures upon the university administration, various segments of the external environment of the university look to it to fulfill their expectations and to develop the resources in their area. One segment of society expects the university to pass on a cultural heritage, values, knowledge and skills; while another segment expects the university

to be oriented in the future, and to develop inquiring citizens; and yet another segment cares little about the university and ignores it, except in a crisis situation when they see the university as an important instrument of society. State legislatures have been confronted with pressure for more funds from the universities, while the voters have pressured for lower taxes. The federal government has continued its long interest in higher education which began, at least, with the Morrill Act of 1860, and within the past decade has made billions of dollars available to universities for students, faculty, research, libraries, buildings and teacher education. These financial resources and pressures have created additional problems for administrators.

Administrative structures in most universities have developed by adding squares on organizational charts as the institution grew in size and complexity. Often these additions were made on the basis of personality and friendships, rather than in a logical and systematic manner. At the same time, there has been a pressure for the university to adopt more business practices and

methods, and this is seen in the development of program planning budgeting systems (PPBS) for education. Until 1960, most of the research in university administration had focused on identification and analysis of the formal aspects of the institution, often omitting the educational nature and function of the university (10). Recent research has tended to concentrate on the process of decision making, informal grouping, role perception and interaction. Like the earlier studies, however, these have too often focused on segments of the university.

Specialization, technology, size and the knowledge explosion have also tended to fragment the university. Administrators, faculty and students tend to focus not on the university and its goals, but upon their department and interest, as Cook's (7) study has shown. This fragmentation carries the seeds of conflict and confusion which could prevent the accomplishment of the university goals.

There needs to be developed a method of analysis of the university organization which will enable the administrator, the faculty member and the student to keep the university as a whole with its goals and

objectives, and the colleges with their goals and objectives, and the departments with their goals and objectives, as well as the classes, and faculty and students, all within a perspective. This perspective should also offer an approach for depth analysis as well as the comprehensive conceptualizations. General systems theory provides a framework for this organizational analysis. In order to help the reader understand the definitions, procedures and problems of the study, a brief description of systems theory is included at this point.

A system is a complex of elements in interaction (13) and it is possible to conceptualize all forms of animate and inanimate matter as systems (16). Systems are either living or dead, and open (living) systems have varying degrees of openness in the exchange of energy, matter and information with the environment which surrounds the systems. All systems except the smallest have components which are called subsystems, and all except the largest are components of larger systems which are called suprasystems. Open systems tend to maintain themselves in a steady state, or dynamic equilibrium of adjusting to their environment and sub and suprasystems. Systems that

are more closed have greater amounts of entropy which is a tendency to homogeneity or stationary equilibrium (16). Social systems have norms and values which give cohesion to the system and to the participants within the system. These systems also have integrative agencies which unite the subsystems into a meaningful whole. Systems also attempt to maintain themselves through a process called feedback (3), where the system adjusts to inputs of energy, information and matter from the environment, suprasystem and subsystems, and where the product is changed in regard to this feedback (30).

In a similar manner, it is necessary to analyze the orientation of individual faculty members, administrators and students for their behavior and attitudes are the result not only of their system setting, but are equally the result of internal orientations which they have developed through the process of growing and living. This is a second focus of this study.

Chapter II will contain a brief review of the literature and research related to organizational theory, and especially to higher education administration. In Chapter III, the university is described as a living

social system with its multiple components. The fourth Chapter will indicate the internal and social orientation of university participants. In Chapter V a typology of university compliance systems will be developed. Chapter VI will contain a summary, with suggestions for further study, and a series of observations.

## CHAPTER II

### Administrative Theory and Research

Literature on research and research on organizational theory and analysis is reviewed as it relates to the university and to the orientation of participants within the university. The traditional approach to administration, that of Max Weber and the bureaucratic system, offers insights into the structure of the university as it has developed and is discussed first. The emerging approach to administration is considered next, as it provides an understanding of the interaction of the individual and the group within the university. Research on university administration, that focuses on more than a small segment of the university, is rare, but several studies are discussed.

#### Traditional or Closed System Theory of Administration

The traditional or closed system approach to administration sees the organization as a closed unit, or at least that the external forces acting upon it are predictable. Followers of this theory see the organization

as rational, and focus upon organizational design for efficiency. Four men form the central core of this school of administration: Weber, Taylor, Gulick, and Urwick.

Frederick Taylor (42) is known as the "father of scientific management." In organizations seeking economic efficiency, human beings were considered as inanimate parts of the organization to be manipulated for the benefit of the organization. He assumes that the goals were known, tasks were repetitive, output of the production process somehow disappears and resources in uniform quality were available. Taylor did realize that the needs of the worker were important. He would meet their needs by increasing wages, which would reward employees, in order to increase efficiency and production. He developed a concept of time study and task specialization which would increase efficiency.

Gulick and Urwick focused on administrative management which viewed economic efficiency as the criteria of an organization. Structural relationships among production, personnel, supply, and service units of the organization were seen as the means of achieving the goal

criteria. Coordination through organization was their key concept. An effective network of communication and control must be developed and the problems must be approached from both top and bottom of the organizational chart. They saw the span of control as limited by time, knowledge, and energy which restricts the number of persons one superordinate can supervise. Urwick (14) described the work of the chief executive in terms of his activities: planning, organizing, staffing, directing, coordinating, reporting and budgeting.

Max Weber (44) used many of the same concepts in order to improve organizational structure. He assumed the goals were fixed, and tried to depersonalize and categorize clients and to separate organizational and private life of employees. His monocratic - bureaucratic model has five characteristics, that is; (1) the regular activities required for the purposes of the organization are distributed in fixed ways as official duties; (2) the positions in an organization are arranged on the principle of office hierarchy and of levels of graded authority; (3) the management of activities is controlled by general rules which are more or less stable; (4) bureaucracy

develops the more perfectly the more completely it succeeds in eliminating from official business love, hate, and all purely personal, irrational, and emotional elements; (5) employment in a bureaucracy is based upon technical competence and constitutes a career (44:42-43).

Weber's model was capable of attaining the highest degree of efficiency and was the most natural. It provided for predictability and for a wide scope of operation with specialization and departmentalization. Technical experts would staff the decision making process. Weber, Taylor, Gulick and Urwick have had a profound influence on the structure and organizational patterns of our universities (20,24,41,47). Their concepts are found in every institution.

#### Emerging or Open System Theory of Administration

The emerging or open system theory is also called collegial-pluralistic concept and places a greater emphasis on the horizontal and informal levels than does the monocratic-bureaucratic model. It is more a collection of concepts from many authors and sources than a unified theory. These authors have a common

orientation in the assumption that the organization is a living system composed of human components with a complex of variables that are beyond human comprehension and control (33,39,45).

One of the first developments of this view came from the Western Electric Studies (22,23). This was a five-year study which originally was undertaken to study the effect of conditions of work, fatigue, and monotony on production. The study was conducted using small groups and unexpected results occurred in three of the studies. The unexplained effect came to be called the "Hawthorne effect" which consisted of three elements: the attention of management, improved human relations, and the identification of informal organizations (4).

William Whyte (45) in a three-year study of a street corner gang analyzed the interactional patterns of the small group. George Homans (19) systematized a framework for small group analysis in which he focused on the internal system of the group, but gave emphasis to the environment and its effects on the behavior of the group. The environment has technical, physical, and social areas. He identified three elements of behavior:

activity, interaction, and sentiment (19).

Chester Barnard used the informal group concepts in his theory. He divided his theory into two parts: (1) the functions and methods of the executive; and (2) the theory of organization and administration. He described a successful organization as meeting two conditions--effectiveness and efficiency.

Jacob Getzels (15) developed a model which expresses these two goals:

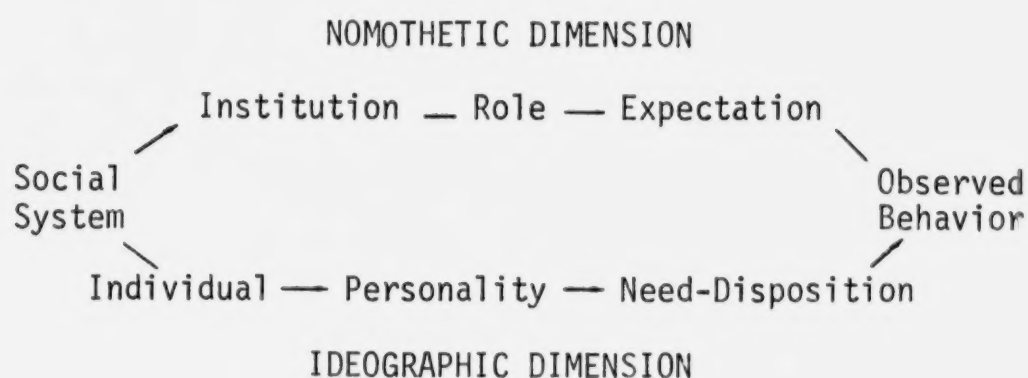


Figure 1. -- Getzel's Model (15:156).

In describing his model he said social behavior is the result of the two dimensions and the closer they are together the more efficient and effective the organization.

Barnard (1) listed incentives that organizations may use to appeal to the employee to induce him to accept the organizational values, and he discussed the symbols of

status that organizations have developed.

According to Philip Selznick (4), latent structures (informal groups) tend to develop because individuals within the system tend to resist being treated as means. They interact as wholes, focusing on their own special problems and purposes. Selznick developed the concept of "coopting" to describe the process of absorbing new elements into the leadership of policy-determining structure of an organization as a means of averting threats to its stability or its existence (42:35). This has the tendency to lessen the threats from informal or latent structures and to provide a source of leaders who have begun the internalization of the organizational values.

Blau and Scott developed a typology of organizations based on the prime beneficiary: as mutual benefit, business concerns, service organizations, and commonwealth organizations (4:43). They see the university as a service organization where the students are the prime beneficiaries and the chief administrative problem is the conflict between the professional service to the students and the administrative procedures. They hypothesized that a superior cannot identify equally

with his superordinate and the subordinate and therefore one is slighted. This results in what they call "the alternate connection systems" which leads to a weakness in control and coordination.

Victor Thompson sees the most symptomatic characteristic of modern bureaucracy as the growing imbalance between ability and authority (43:6). He proposed that the bureaucratic structure should be loosened to facilitate innovation and change. The superordinate role is characterized by rights and powers while the subordinate role is characterized by duties. Thompson emphasizes the two dimensions of Getzel's model, and he describes modern management as combining the group-identification approach and that of the individual.

James March, Herbert Simon, (26) and Richard Cyert represent a stream of administrative theory that is built on the work of Chester Barnard, and which focuses on problem facing, problem solving, and the organizational processes related to courses of action (42). Due to their great complexity, modern organizations must develop processes for deciding within the limits of bounded rationality. Therefore the criterion for decisions is

satisficing rather than efficiency (38). This process of satisficing includes the organization's environment and its interaction with the environment. March asserts that organizational goals are established through coalition behavior.

A different typology of organization was developed by Talcott Parsons (34) which is based on the functional orientation of an organization and includes the following four types: (1) Economic production; (2) Political goals; (3) Integrative; and (4) Pattern maintenance. He sees the university as a pattern maintenance organization with the dual goals of socialization and creative modification of the cultural tradition through research. In determining organizational subsystems he sees three: institutional, managerial, and technical (34:20). He sees the value pattern or orientation of an organization as the reference for analyzing the social structure. The function of the value system is to legitimize the organization's goals, but it is only through power that its achievement can be made effective. For Parsons, the concept of the role is more significant than that of the person (34:23).

Compliance is the key concept in Amitai Etzioni's classification of organization. Compliance is a relationship consisting of the power employed by superiors to control subordinates and the orientation of the subordinate to this power. There are three sources of power or control: (1) coercive (the application of or threat of application of physical sanctions); (2) remunerative (the control of material resources and rewards); and (3) normative (the allocation and manipulation of symbolic rewards and deprivations through the employment of leaders, manipulation of mass media, allocation of esteem and prestige symbols, administration of ritual, and the influence over the distribution of acceptance and positive response) (11:5).

Etzioni subdivides normative power into: (1) pure normative power (manipulation of esteem, prestige, and ritualistic symbols), and (2) social power (allocation and manipulation of acceptance and positive response). An organization will tend to rely more on one of these types of power than on others, because they tend to neutralize each other when used in combination.

Etzioni developed two typologies:

#### TYPOLGY OF POWER AND INVOLVEMENT

| <u>Kinds of Power</u> | <u>Kinds of Involvement</u> |             |       |
|-----------------------|-----------------------------|-------------|-------|
|                       | Alienative                  | Calculative | Moral |
| Coercive              | 1                           | 2           | 3     |
| Remunerative          | 4                           | 5           | 6     |
| Normative             | 7                           | 8           | 9     |

#### TYPOLGY OF GOALS AND COMPLIANCE

| <u>Kinds of Compliance</u> | <u>Kinds of Goals</u> |          |         |
|----------------------------|-----------------------|----------|---------|
|                            | Order                 | Economic | Culture |
| Coercive                   | 1                     | 2        | 3       |
| Utilitarian                | 4                     | 5        | 6       |
| Normative                  | 7                     | 8        | 9       |

Types 1, 5, and 9 are found more often and he terms these three as congruent relationships because the kind of involvement tends to be the result of the dominant power type, and the kind of goal tends to be congruent with the kind of compliance. Etzioni sees the university as a Type 9; that is, it is normative power with moral involvement producing normative compliance and cultural goals. The use of other types of power or other types of goals will produce dysfunction within the university, and will result in loss of efficiency and effectiveness.

Etzioni sees the university as a normative organization which also has a service structure which is run by the administration and is a utilitarian system. This system is connected to the university at the upper level to keep the dysfunction between types of power and goals limited.

Compliance in educational organizations is based primarily on the internalization of norms which accepts directives as legitimate, and coercion in such an organization has been a secondary source of compliance. In recent years remuneration has increased as a type of power, and its affect has increased so that it is now the secondary source of compliance. Some hypothesize that it is the first.

Etzioni develops the concept of charisma as functional in organizations and sees it as functional in a university in the faculty ranks.

#### Research on University Administration

James Doi has observed that prior to 1960, research on university organization and administration was almost wholly concerned with the identification and analysis

of the formal structural aspects of institutions (10:347). The research focused on organizational charts, line and staff relationships, lines of communication, duties and responsibilities of administrators, policies, and practices. These studies were descriptive surveys of formal organizational arrangements, and, in most cases, the basic assumption was that the title and list of duties accurately described what a university officer did. In this sense they were often misleading, and even false.

Since 1960 a new trend in research has developed which, according to Doi, has the following characteristics:

1. Interest in the applicability of theories of formal organization to higher education institutions and in the development of a theory of college organization.
2. Interest in both the formal and informal aspects of college organization.
3. Interest in the application of communication and decision-making theories and models to the governing of college and universities.
4. Accelerated diffusion of the terminology and frames of reference of psychology, sociology, political science, public administration, and business administration to include higher education (10:348).

Thus the descriptive survey has been replaced with the use of theory as a research base from which the researcher

works. Nevertheless, these studies have focused on narrowly defined areas and have contributed little to an understanding of the university as a whole.

The rising tide of faculty and student militancy has resulted in many research studies. Lipset (25), Carr (5), Joyal (21), all have done studies in this area, but have focused on narrow segments of the total problem. An examination of the research on leadership by Myers (32) which demonstrated that the social system of an organization is crucial in developing and in exercising leadership, and that leadership exists in groups, is a group role, makes even more important the realization of a systems approach to administration.

McCoy (31) and Cook (7) in their study of the administration and faculty of a large multi-purpose university found: that the faculty was almost entirely excluded from the decision-making process; there was a tremendous lack of clarity; that most faculty members expect little change and; little participation in decision-making. Lane (23), Clark (6), Mooney (29), Millet (28), and Wilson (46) discussed aspects of the university primarily in the area of internal organization

and decision-making, and saw the need for less of an arbitrary approach, and for more participation in decision-making by faculties.

Dannison (8) studied how the formal expression of the faculty might contribute to the development of sound organizational principles. Dibden (9) argues for stronger participation of the faculty, while Hickman(17), however, argues that too much sharing of authority for decision-making by the faculty would be unwise in view of the growing inexperience and transiency of college faculties. Presthus (37) offers the opinion that the administration of universities is overbearing and that the faculty should be granted greater autonomy. Strong (40) suggests a shared responsibility for decision-making between the faculty and administration will produce the best results.

#### Summary

The traditional or closed state of administration with its emphasis on organizational tables, rationality, and efficiency represents the organizational pattern and practices of many university administrators.

Unfortunately this concept fails to sufficiently meet the needs of students and faculty members.

The emerging or open systems theory of administration provides many concepts that provide for the needs of students and faculty as well as the distinctive purposes of the university. The focus on small group interaction and on the decision making process give insight into the activity of the university. The combination of several of the ideas in this theory should be most productive.

Research on administration in higher education provides a few insights into the organization and administration of the university as a whole. The need to develop a simple, comprehensive, and conceptual framework for analyzing and understanding a university is all the more evident.

### CHAPTER III

#### A Conceptualization of Universities as Living Social Systems

The rapid expansion of universities in enrollment and in complexity of internal organization presents serious problems to university administrators, faculty and students. These expansions have tended to result in disunity within the university, the student body and the faculty. This disunity has been widened by the increasing specialization and militancy of faculty and students. If the universities are to survive and function effectively, some way must be found for university participants to understand these problems and to devise means of integrating the university. Most of the research on universities isolates one factor or variable and studies the problem in detail with little conceptualization of its relation to the university as a whole. This isolation of factors only adds to the problem. Systems theory provides a conceptual approach integrating the many elements of an organization. This article will use social systems theory as

an analytic tool to conceptually integrate the university while maintaining the integrity of the many subsystems.

Parsons defines a social system as a system of action and interaction between two or more actors. (35) In a university the interaction is between the participants who comprise the university and is found both in the learning process and in formal and informal interaction of the participants of the university. These are more manifest in the subsystem. The university exchanges energy and information with its environment. The environment is everything outside of the university boundary. Some of the inputs from the environment come from state government, community, research groups, foundations, organized pressure groups, accreditation agencies, professional organizations and associations, public, and new faculty, administrators, students and service personnel. Some of the outputs are: graduates, dropouts, research results, information and services, and public perceptions of the university based on news media.

Living systems may be classified along a continuum

from open to closed on the basis of the amount and quality of the inputs and outputs exchanged with the environment. Figure 2 illustrates that entropy and inputs have negative correlation.

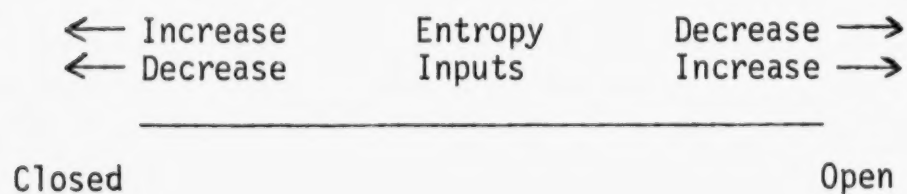


FIGURE 2. LIVING SYSTEMS

No university (living system) is completely open, (this would destroy the boundary and cause death) or completely closed for this would also cause death.

As the university receives inputs from its environment and adjusts to them, it moves to a new steady state. This is called dynamic equilibrium in contrast to the resulting stationary equilibrium of a more closed system.

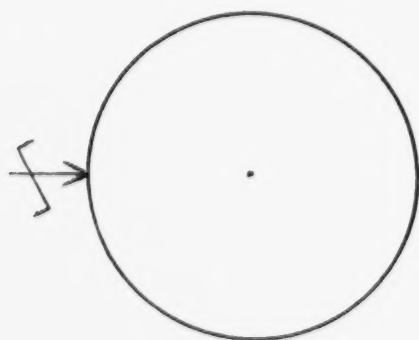


FIGURE 3. STATIONARY EQUILIBRIUM

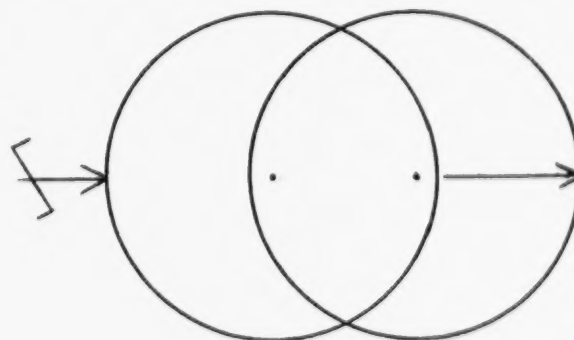


FIGURE 4. DYNAMIC EQUILIBRIUM

Figure 3 illustrates a university that resists inputs from its environment and filters out the inputs in order to maintain its current (stationary) equilibrium. No university would be able to filter all inputs, but is closed to some of them. Figure 4 illustrates a university that filters out less of the inputs and adjusts to them by moving to a new position. This process is called dynamic equilibrium. An open university system would also resist disruptive influences but would adjust and move to position B (Figure 3).

Bertalanffy (3) has designed a model to describe this process. This is graphically illustrated in Figure 5.

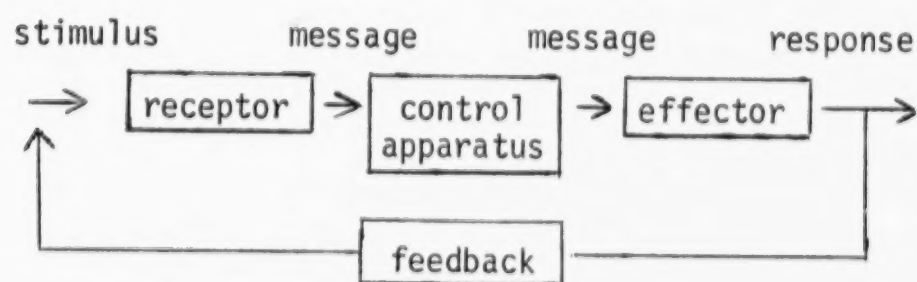


FIGURE 5. BERTALANFFY FEEDBACK MODEL

The receptor, control apparatus and effector are parts of the open social system. The stimulus is the inputs and the response is the outputs. An open university system monitors the environment's reaction to its

outputs and makes adjustments in response to the feedback. The more closed a university system is, the more it filters out the feedback in an effort not to be disturbed. This is an example of the increase of entropy in a closed system. Robert Chin (2) has theorized that a system reacts in one of three ways to input and/or feedback from its environment:

- (1) resisting the influence of the disturbance;
- (2) by resisting the disturbance through bringing into operation the homeostatic forces that restore or recreate a balance...;
- (3) by accommodating the disturbance through achieving a new equilibrium (2:201-214).

A university will choose one or more of these courses of action depending upon the extent of openness or closedness. Within recent years the environment is sending more inputs and feedback to the university. If a university is to function and survive it must anticipate these signals and plan to deal with them. These signals have a tendency to increase in size and intensity when ignored and this may cause an over-compensation response which could endanger the university. This means the university should be capable

of effective self-regulation and able to move to a new steady state.

The principle of equifinality is applicable to universities. Equifinality means that "the final state may be reached from different initial conditions and in different ways" (3:4). Universities seek to have an output of educated graduates who are able to perform effectively and efficiently in a modern cultural system. They accomplish this with inputs of students from many backgrounds and with wide ranges of abilities and talents. Not all students respond to the same methods or the same teachers but the university seeks to use all possibilities to attain its objectives and to develop the students.

All systems, except the smallest and the largest, have subsystems and are part of a suprasystem. Each subsystem has its function or functions to perform, and it does so in relation to all of the others, so that all the parts of the social system work together with a sufficient degree of harmony or internal consistency. (14:46). This dynamic interaction between subsystems is one of the means the system uses to maintain its

dynamic equilibrium.

The university is part of the educational suprasystem within the state and nation. The university interacts with the other systems within these suprasystems. From them the university receives direction, information, material, resources, finances, values, and the other functional necessities. The university must meet the needs of the suprasystems if it is to function effectively.

The university system is composed of many components or subsystems. Parsons groups subsystems by function or responsibility into three groups or levels:

1. The institutional or community subsystem which legitimizes the system through creating agencies of control.
2. The managerial subsystem which controls and services.
3. The technical subsystem which performs the functions of the system (34, 35).

The institutional, managerial and technical subsystems are illustrated in the following figure:

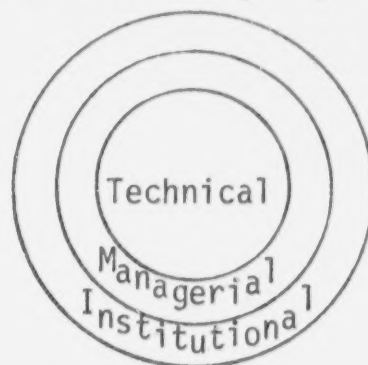


FIGURE 6. PARSONS TYPOLOGY OF SUBSYSTEMS

The technical system is protected from the environment by the managerial and institutional subsystems, so that it can perform the functions of the system. The managerial mediates between the technical and institution while the institution mediates between the system and the environment.

#### University Social Systems

The subsystems that exist within the university are represented in Figure 7:

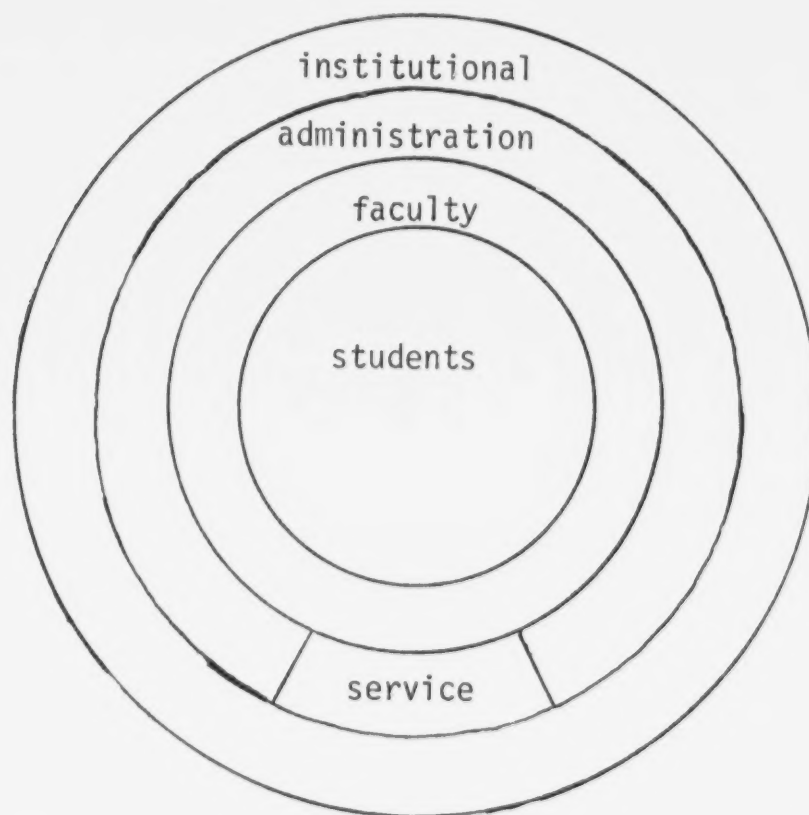


FIGURE 7. UNIVERSITY SUBSYSTEMS

The institutional system forms the outer segment of the university system through which the legal control mechanisms (trustees or board of regents or control) of the university function. The managerial system can be divided into two subsystems within the university: administrative and service. The administrative subsystem includes the president, vice president(s), deans, business managers and other administrative personnel who mediate between the university and its environment and administers the internal affairs of the university. The managerial subsystem also mediates between the faculty and students and is responsible, along with the institutional subsystem, for providing the resources needed by the technical subsystem. The service subsystem includes housing, police, food services, plant and grounds, and the other sections that provide the facilities and equipment for the technical subsystems. The technical subsystem is responsible for the goal achievement. In the university this would include the functions of teaching, service and research. The technical subsystem includes the faculty and student subsystem. These subsystems are separated

by function but are integrated in several ways.

The major integrative subsystems are graphically shown in Figure 8:

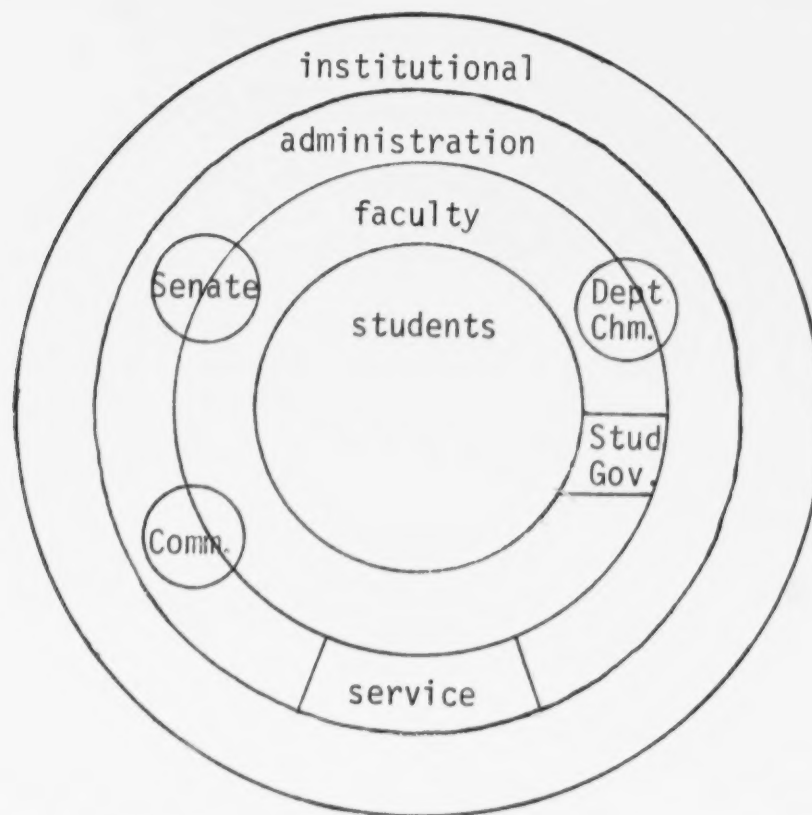


FIGURE 8. INTEGRATIVE SYBSYSTEMS

Department chairmen, the senate and university committees cross the boundaries between the subsystems and are subsystems themselves. They serve to bridge the boundaries between the faculty and the administration. Student government serves the same function between students and administration, though to a lesser extent.

A second method of integration is provided by the two-way channels of communication between the administrative and the technical subsystems. The administration may present policies and procedures to the faculty, but the faculty also present their own needs and abilities which limit the alternatives open to the administration. Furthermore, the fact that faculty are specialists within certain areas and have more professional competence in these areas than most administrators serves to increase the administrators dependence upon the faculty. Also, to the extent that tenure protects faculty from undue administrative pressure, it helps insure that the interaction between systems will be a two-way process.

The third integrative factor is found in the overlapping of the technical subsystem with other subsystems of the same level. A university is divided into colleges and schools on the technical level. The colleges and schools are shown in Figure 9 as overlapping the faculty and student subsystems.

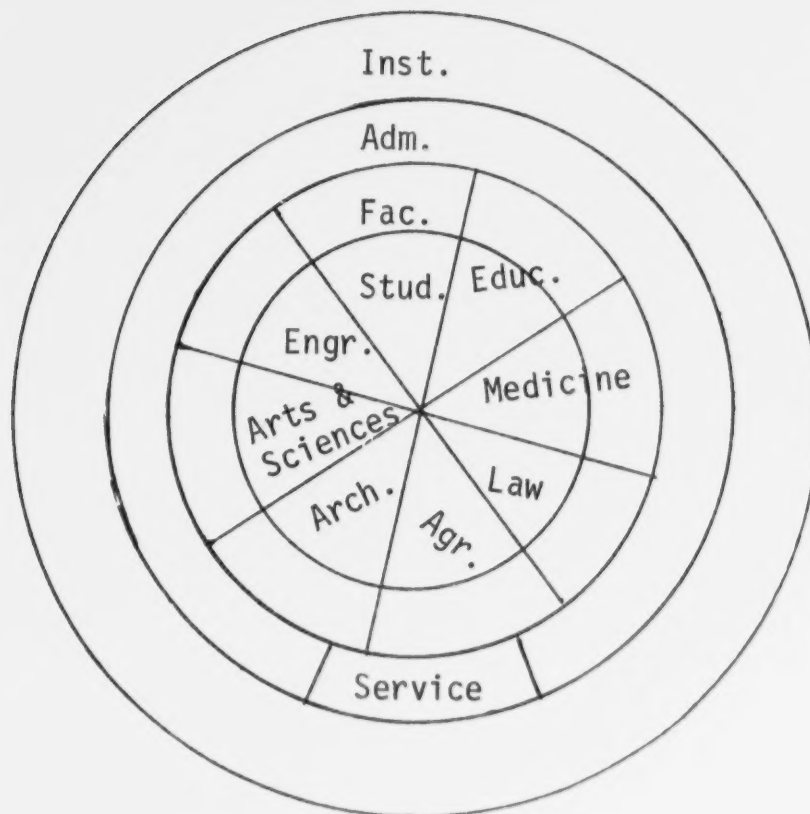


FIGURE 9. UNIVERSITY TECHNICAL SUBSYSTEMS

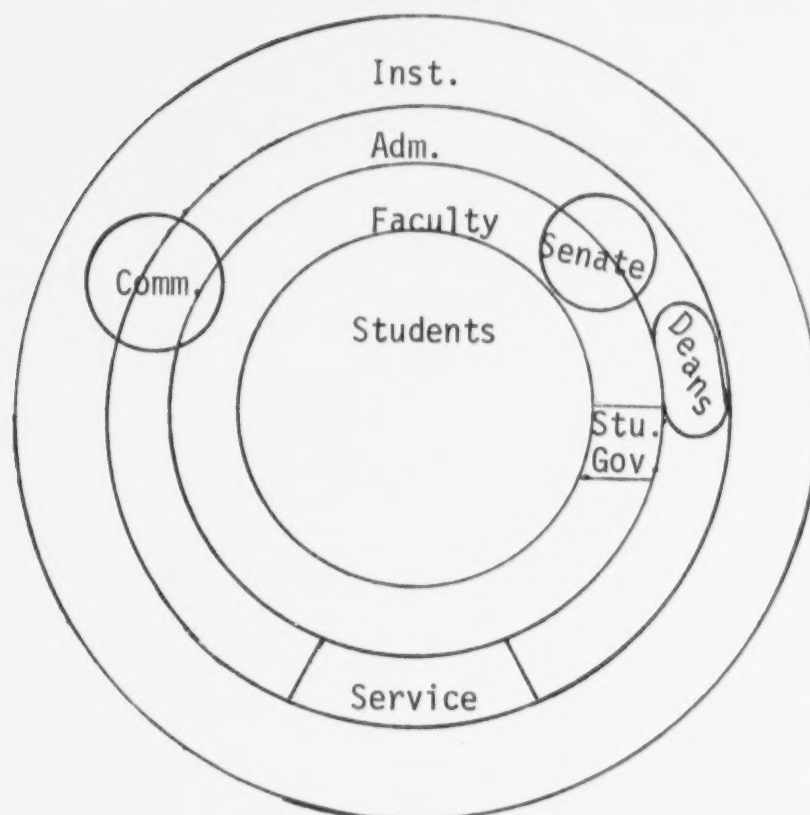


FIGURE 10. COLLEGE INTEGRATIVE SUBSYSTEMS

In Figure 10 each college is described as a system itself with the university administration being its institutional suprasystem, the college dean and his staff represent the administration subsystems and the library and other services comprising the service subsystem. The factors used to describe the interaction and relation of the university subsystems are equally as valid in college subsystems. These college systems have undergraduate and graduate committees which serve to tie the technical and administrative subsystems together. The major student vertical subsystems are shown in Figure 11 and the student technical subsystems are shown in Figure 12.

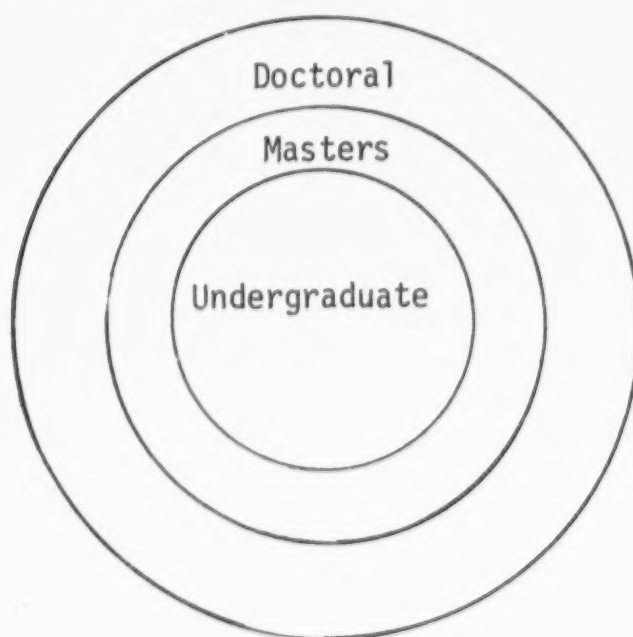


FIGURE 11. STUDENT SUBSYSTEMS

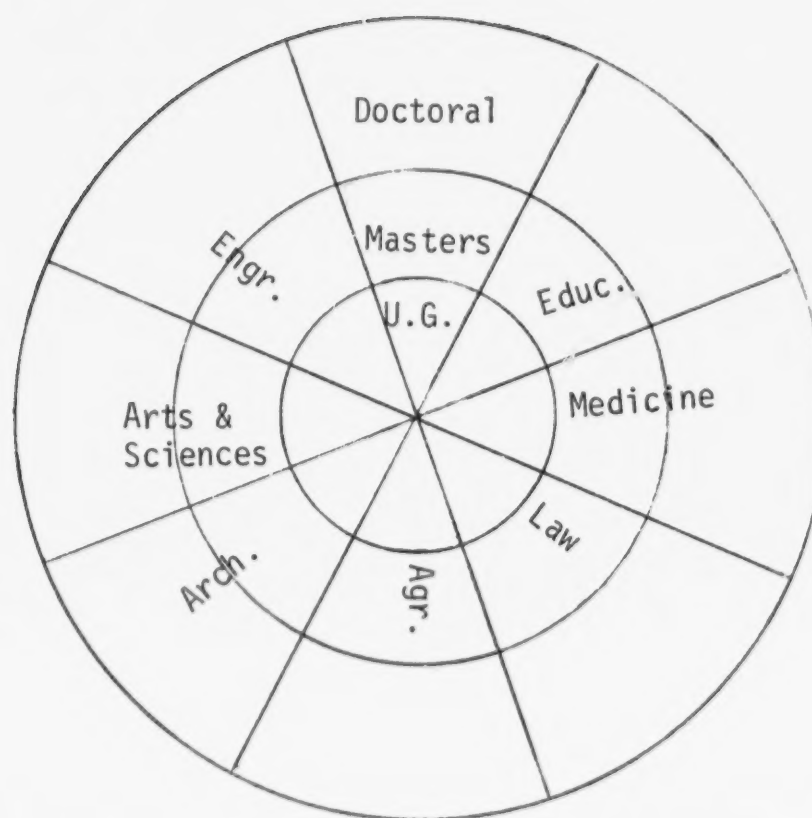


FIGURE 12. STUDENT COLLEGE SUBSYSTEMS

The students comprise a subsystem of the technical subsystem and their system has three vertical subsystems. These can be called: (1) Undergraduate; (2) Masters; (3) Doctoral (including professional). They describe the academic level of the students. The boundaries between the subsystems are very permeable to input of students from the inner subsystem and from the outside environment (other institutions).

Figure 13 illustrates the integration of the vertical and technical subsystems of students within a college.

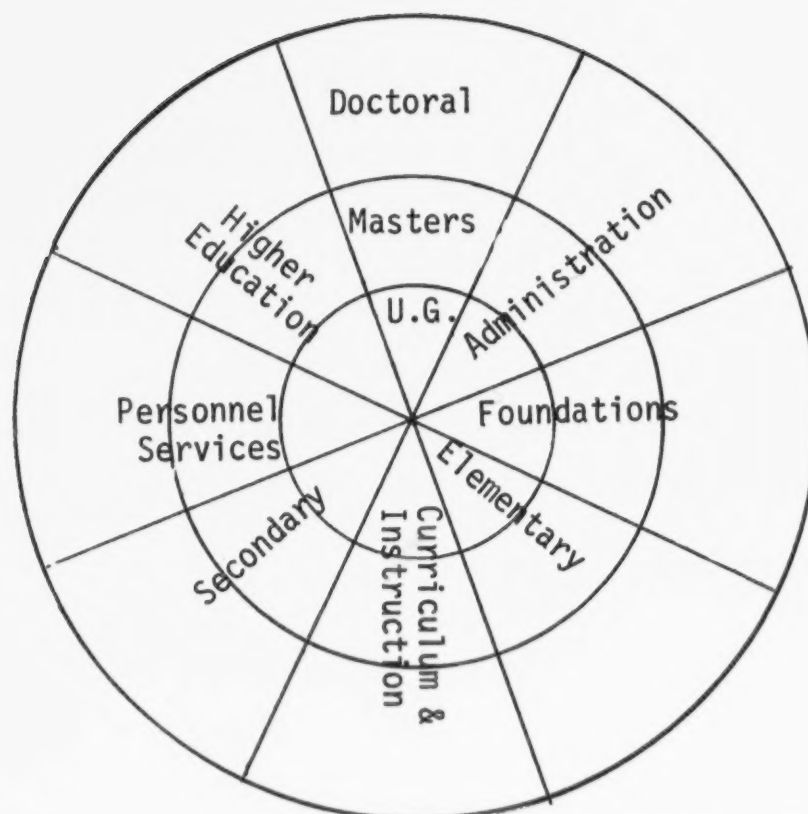


FIGURE 13. STUDENT DEPARTMENTAL SUBSYSTEMS

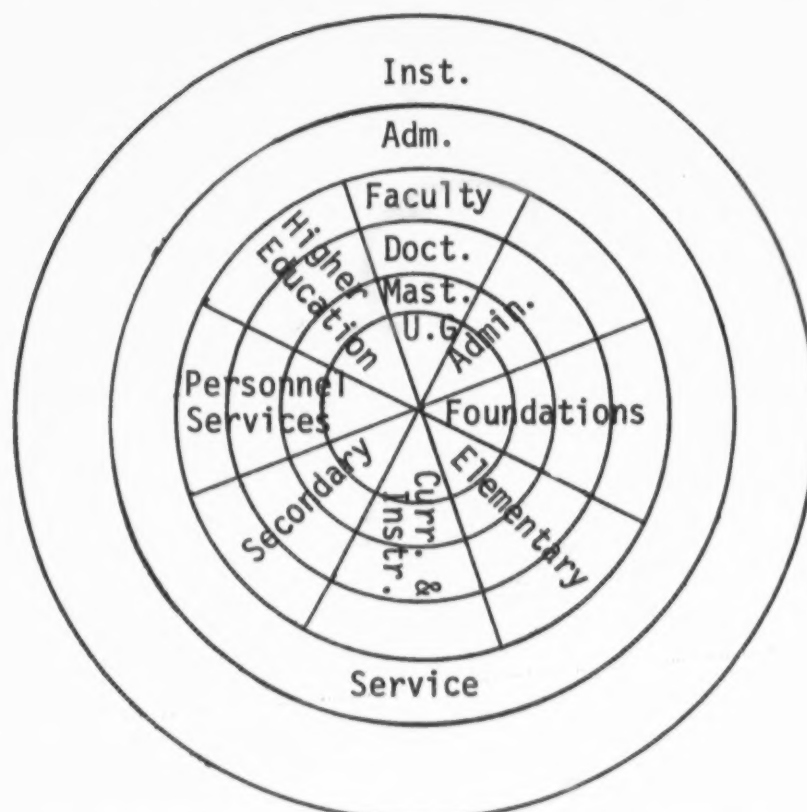


FIGURE 14. COLLEGE TECHNICAL SUBSYSTEMS

The integration of the student, faculty and managerial subsystems and the departmental technical subsystems of a college are illustrated in Figure 14. Within each college are departmental subsystems. It is at this level that all of the members of the technical subsystem can have personal interaction. On the university and college level the subsystems are too large for personal interaction between the components. This is one of the reasons that faculty ranks are not strong subsystems and are more important for status and salary. The boundary between the doctoral subsystem and the faculty system is permeable and interaction between the components of the two systems is larger than would be expected between two systems. Separate subsystems of the student subsystem are found within the colleges and within the departments. Interaction among students is greatest at the departmental subsystem and at the doctoral level within these departments. Here a relatively tight informal system is usually formed. At the opposite extreme, the university system level, students are a very loose system. Perhaps the only function where students have personal and emotional interaction

is at football games and in isolated crisis situations.

An additional set of student subsystems overlaps the previously mentioned subsystem. It is composed of formal and informal components:

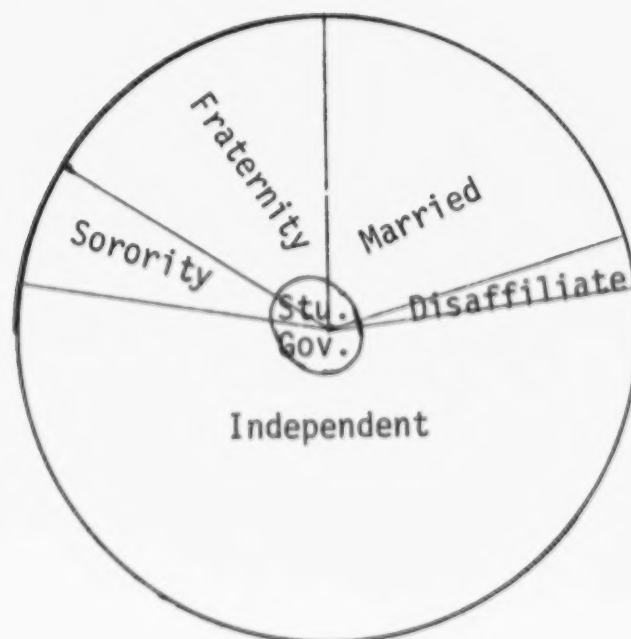


FIGURE 15. STUDENT ORGANIZATIONAL SUBSYSTEMS

The formal subsystems are shown on the above model. Within each are multiple informal subsystems. For example: fraternity members cross their fraternity system boundaries and form informal groups for student government politics and other reasons. Independent and married students form informal groups on the basis of residence. Informal groups are also formed by faculty members, administrators

and service employees on the basis of work or office areas. This conceptualization provides a means of studying the university as a living system with multiple components which make up a totality. No subsystem can be considered except as a part of the whole.

#### SUMMARY

The university can be conceptualized as a living social system. This conceptualization provides an analytical framework for the university administrator to better understand the many subsystems of the university and how they are related. The conceptualization also enables him to visualize the subsystems which are designed to integrate the university into a functioning whole.

The models used in this article are general in nature, and represent no actual university, but an administrator can create models to describe his university and its subsystems. The models will be helpful as one of his tools of administration. They do not give the answers nor do they even ask the right questions, but the models can assist the administrator in arriving at the questions and the answers.

Conceptual social systems models provide an overall understanding of the university and a means of focusing on one or more of the subsystems.

## CHAPTER IV

### Orientation of University Participants

The behavior patterns of university participants are not a simple interpretation of line and staff charts which indicate superordinate and subordinate roles, but are a complex, multidimensional interactional relationship.

At least four factors affect the compliance of university participants in the following model:

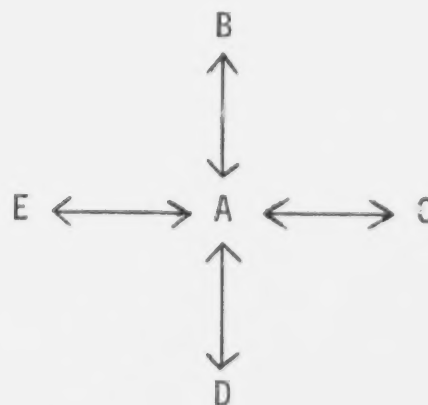


FIGURE 16. COMPLIANCE RELATIONSHIP MODEL

"A" represents the participant in a university with his internalized orientation that has developed over a span of years. This orientation will affect his response to any exercise of power by his superordinate "B." The peers "C" exert a strong social normative power upon him

to respond in an acceptable manner congruent with the norms of their particular peer group. Subordinates "D" have an influence upon "A" for he depends upon them for the achievement of his and the organizational goals. External organizations and reference groups "E" also influence the compliance of "A." These four relationships of "A" will affect his response to a directive from superordinate "B" or to a request from subordinate "D." The internal orientation of "A" will usually determine the strength of the four interactional relationships.

#### Orientation of University Participants

Robert Merton (27), in describing the orientation of influentials, suggests that they can be classified into two types: "locals" and "cosmopolitans." The "locals" are great patriots and seldom think of leaving their community which is their world. They are pre-occupied with local problems. In developing influence, "locals" build a network of as many people as possible and join organizations that provide for these contacts so that their influence rests upon whom they know (27:393-400).

The "cosmopolitans" are described by Merton as having an interest in the local community, but are oriented to the outside world and regard themselves as integral parts of it. This enables them to be mobile, for their orientation is not restricted to one place or institution. "Cosmopolitans" are selective in their personal relationships and limit them to those with whom they can exchange ideas, and they join organizations where they can exercise their special skills and knowledge. They build influence because of prestige, skills, knowledge, and experiences (27:393-400).

Participants in a university who hold the first philosophy can be classified as "locals." Their community is a university and the region it serves. They are at home within it and are less mobile than the "cosmopolitans" who represent the second philosophy. The two philosophies are found within all colleges of the university, but they will tend to congregate within certain departments and colleges.

These two philosophies do not describe fully the orientation of university participants. Robert Presthus (13, 36) developed a typology to describe the orientation

of organizational participants in three classifications:

upward-mobile, ambivalent, and indifferents. The

upward-mobile is a bureaucratic type whose:

...values and behavior include the capacity to identify strongly with the organization, permitting a nice synthesis of personal rewards and organizational goals. A typical form of accommodation is adjustment through power and special efforts to control situations and people. His "security operations" stress efficiency, strength, self-control, and dominance. His most functional value is a deep respect for authority. Not only are his inter-personal relations characterized by considerable sensitivity to authority and to status difference, but his superiors are viewed as non-threatening models for his own conduct. (36:203).

The indifferent:

...refuses to compete for the organization's favors. The indifferent person comes from one of two backgrounds. Some enter the organization with great expectations but are unsuccessful and react by turning their backs on the organization. Others have a working- or lower-class origin and are taught not to expect much from the organization. The "indifferent" accommodates to organizational demands by doing his work, arriving on time, and leaving on time--but by developing his major interests outside of the organization. His anxieties are reduced to a minimum because he refuses to become involved in the organizational race for rewards. He separates his work from the rest of his living. As Presthus says, "He sells his time for a certain number of hours and jealously guards the rest" (13:115-116).

The ambivalent is unable to adjust to the organizational goals:

...which violate his need for personal autonomy,... his "tender-minded" view of human relations disqualified him for the "universalistic" decision making required for success on organizational terms. Since his preferences include a desire for creativity and for a work environment that permits spontaneity and experiment, the structured personal relations, stereotyped procedures, and group decision making of big organizations prove stifling. He rejects its systems of authority and status which often seem to rest upon subjective bases rather than upon the objective, professional claims that motivate. Nor can he easily identify with the small group in which he works, for here too the conditions of participation are similar to those of the larger system. If his values did not include prestige and influence, a happier accommodation might be possible; but these again emphasize his ambiguity and his inability to assume the roles required to achieve them. In sum, with the exception of his critical function as the agent of change, the ambivalent type is uniquely unsuited to the bureaucratic situation (36:285-286).

The typologies of Merton and Presthus can be combined as illustrated in the following figure:

| <u>Philosophical<br/>Orientation</u> | <u>Focus of Orientation</u> |            |             |
|--------------------------------------|-----------------------------|------------|-------------|
|                                      | Upward<br>Mobile            | Ambivalent | Indifferent |
| Locals                               | 1                           | 2          | 3           |
| Cosmopolitans                        | 4                           | 5          | 6           |

FIGURE 17. UNIVERSITY PARTICIPANT ORIENTATION

The type 1 university participant is often referred to by his colleagues as the "administrative type." He has a very strong identification with the upper administration of the university as well as the university itself. He finds his security in this identification and in the internalization process.

The local ambivalent (type 2) finds that the university is unable to meet the needs of individual faculty members who are lost in the bureaucratic system. He is usually a capable and dedicated faculty member who does his "job" and finds his identification in professional organizations. Like the cosmopolitan ambivalent he frequently is active in consultant work or applied research.

The type 3 or local indifferents are more numerous than type 1 or 2 and with type 6 comprise a majority of the university faculty members. They adjust to the university by finding their individual place of specialization and ignoring the rest of the institution. Type 3 participants refuse to become involved in the governance process and feel it is not worth the effort and time. They give the university what it "purchases" from them

and do as they please with the remainder of their time.

The cosmopolitan upward-mobile (type 4) in most universities identifies with "ideal university goals" and recognizing that the current administration is less than ideal seeks to rise in the bureaucratic structure so that he can implement what he feels are the "ideal university goals." This often places him in opposition to the "in group," as he seeks to develop a new power structure.

Type 5, or cosmopolitan ambivalent, is of two basic subtypes. Like the local indifferent they reject much of the university organization and place a heavy stress on individual and faculty rights and privileges. They find much of their orientation in small reference groups of their peers, within and without the campus. One type is the liberal political activists who seek to change not only the university but the environment around the university. The liberal militants comprise a second type who use methods in addition to discussion and reason to accomplish their objectives. Both types tend to reject the systems of authority and status found within the university structure which they perceive

as being based upon subjectivity rather than objective analysis.

Cosmopolitan indifferents (type 6) reject the organizational goals as well as the bureaucratic structure and find their orientation in teaching and research. Type 6 participants use their concern for originality and personal development in the classroom and laboratory and are often among the most effective teachers within the university. They are often active in many areas of community life in the surrounding environment.

The varied pattern of the university participants is the result not just of directives, of just personal need dispositions, but of a complex of interactional factors. An administrator or teacher within a university needs to have a more concrete framework for analysis if there is to be a pattern of behavior prediction. The university as a living social system concept can be combined with the university orientation concept to produce a typology of university systems which will describe the orientation of university participants.

## CHAPTER V

### A Typology of the University Compliance Systems

University compliance systems are of several types, and have varying degrees of scope. In this chapter we will discuss three types of university systems, the three ranges of their scope, and construct a typology of nine types of university compliance systems. The latter half of the chapter will be a discussion of these nine types and their meaning for university administrators, faculty and students.

University compliance systems can be analyzed into three types: formal, semiformal and informal. Formal subsystems are formally structured by legitimate authority for the purpose of decision making and implementation of the decisions. These systems range from the controlling board of the university to the classes and extension programs. The formal subsystems make the instrumental or means decisions and the expressive or ends decisions. These subsystems include the upper elite and lower participants. In each subsystem there is an identifiable structure for making and implementing the decisions.

The formal subsystems are within the university formal organization, and it is in these systems that hierarchical power is most effective.

The semiformal subsystems are not under direct university control, but are given status and legitimization by the university administration. Participants within these systems have mutual interaction, and through this interaction a structure and leadership develops. These systems develop around a common orientation and are of four basic subtypes: student, faculty, alumni and administrative. Like the formal and informal system, some of these subsystems extend into the environment.

Informal subsystems develop in many ways. Some are based on office or activity location, while others develop in the many contacts and friendships that a university participant has. Political and philosophical beliefs form the base from which other systems develop. Most of these systems have a changing membership over time, and the subsystems are usually issue or content oriented. Leadership and structure are also fluid depending upon the issue.

University compliance systems may also be defined in terms of their scope. Three areas of scope may be: integral subsystems, internal systems spanning subsystems, and external systems spanning subsystems. The integral subsystems include the primary physical and professional situation of the university participant. These subsystems range from the bureaucratic structure to student and alumni organizations. They include expressive and instrumental beliefs. Each subsystem has form and structure or is the result of a structural location.

Internal systems spanning subsystems are the primary integrating factors in the university. These systems spanning subsystems integrate the university on both vertical and horizontal planes. These subsystems range from the formal subsystems under university control to informal philosophical subsystems that are fluid in membership and leadership and under little control from any source. They include committees, councils, student and faculty organizations. Perhaps the key internal system spanning units within a university are the department chairmen and the deans.

External systems spanning subsystems are designed or developed to keep the university as a viable system able to interact with and survive in its environment. They range from the formal legitimate controlling board to informal personal contacts and friendships. They also include formal subsystems designed by the university to provide services, and assist all or part of the environment.

These three types of systems and the three areas of scope can be combined to form the following typology:

|                          |                             | TYPE OF SUBSYSTEM |            |          |
|--------------------------|-----------------------------|-------------------|------------|----------|
|                          |                             | Formal            | Semiformal | Informal |
| Scope<br>of<br>Subsystem | Integral                    | 1                 | 2          | 3        |
|                          | Internal<br>System Spanning | 4                 | 5          | 6        |
|                          | External<br>System Spanning | 7                 | 8          | 9        |

FIGURE 18. ORGANIZATIONAL COMPLIANCE SYSTEMS

The nine categories of the typology can be expanded in a university situation as demonstrated in the following typology:

| <u>Scope of System</u>                 | <u>Type of System</u>                                                         |                                                             |                                                                                                                          |
|----------------------------------------|-------------------------------------------------------------------------------|-------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------|
|                                        | I. Formal                                                                     | II. Semi-formal                                             | III. Informal                                                                                                            |
| A. Integral Subsystems                 | 1. Technical<br>2. Managerial<br>3. Service                                   | 1. Alumni<br>2. Students                                    | 1. Faculty Location<br>2. Office Location                                                                                |
| B. Internal System Spanning Subsystems | 1. Senate<br>2. Councils and Committees<br>3. Department Chairmen             | 1. Students<br>2. Faculty                                   | 1. Conservative<br>Old Guard<br>2. Liberal Political<br>Activities<br>3. Militants<br>4. Contacts and<br>Friendships     |
| C. External System Spanning Subsystems | 1. Board of Regents<br>2. Upper Administration<br>3. Service and<br>Extension | 1. Students<br>2. Faculty<br>3. Administrators<br>4. Alumni | 1. Business Contacts<br>2. Professional<br>Contacts<br>3. Political Contacts<br>4. Alumni Contacts<br>5. Family Contacts |

FIGURE 19. UNIVERSITY COMPLIANCE SYSTEMS

The compliance of university participants in the result of their multiple interactional relationships and participation in one or more of the subsystems affects their compliance. Merton (27) says the situation is crucial in determining whether a person is "polymorphic" (has influence in several areas of fields) or "monomorphic" (has influence in a limited area of field). A university faculty member may be "monomorphic" by choice, but appointment to an internal or external system spanning subsystem may compel him to broaden his perceptual field and may provide the opportunity to become "polymorphic." Thus his behavior is changed and future compliance is modified by this process.

#### Formal Subsystems

#### Integral Subsystems

According to Talcott Parsons, the technical subsystem is that segment of the organization which performs the function of the system (34:60-67). The technical subsystem is similar to the expressive elites, in Etzioni's model, who make and accomplish the ends decisions. In the university the technical subsystem and expressive elites are the faculty who comprise

the departments, conduct the instruction and carry out the research. Within these subsystems the final expressive decisions are made: which courses will be offered and their content, who will teach them, what will be researched, how research and courses will be conducted. In the implementation of the decisions the goals of the university are achieved.

The locus of decisions contribute to making the departmental subsystems the most crucial subsystems in the university. All other subsystems can fail to function effectively with the loss of efficiency for the university, but failure of departmental subsystems results in the loss of goal achievement. Departmental subsystems are the "generators of the University."

Both social and pure normative power act upon the participants of the technical subsystem. Social and pure normative power are the most effective types of power to obtain compliance as the participants have moral involvement, resulting from a long period of educational preparation during which time they have internalized most of the values, norms and goals of university education.

This social normative power is based on the acceptance and positive response from faculty peers, which tends to produce conformity and a continuation of existing conditions. Managerial personnel have pure normative power which is based on the allocation or withholding of privileges, symbols, titles, and prestige. They also have remunerative power which is growing in importance in obtaining compliance. This is more powerful when withheld from a participant, for then the participant usually leaves for another university who will give him the desired remuneration. The lack of a surplus of qualified faculty members increases their value and their mobility.

The main control mechanisms are designed to prevent the emergence or employment of deviant faculty members. Some of these preventive control mechanisms are: selection for professional competence, socialization and internalization, examination and observation during practice period (before tenure), sidetracking and on rare occasions suspension or expulsion. Peer control already referred to, is crucial. Participation by peers in decisions on promotion and tenure is a powerful

force for conformance to peer norms.

The colleges and the administration comprise the managerial subsystems in a university. They are responsible for the maintenance and direction of the institution, and are the best qualified to make means decisions. The higher they are located in the bureaucratic hierarchy the less able they are to make viable decisions on ends, because they are further separated by administrative levels from the implementation of the decisions.

University administrators tend to focus on structural relationships, and the organizational side, to the neglect of the participants' needs. This causes alienation and indifference on the part of the faculty which further retards the achievement of the organizational goals. As the universities increase in size, administrators tend to tighten the structure and control mechanisms, which results in more centralization and less participation by the faculty and students.

Managerial elites are less mobile than faculty elites as they have greater involvement in the specific institution. Some universities select most of their

middle-managerial-level elites from within the university and upper-elites from without. This increases the importance of control mechanisms. These control mechanisms are exercised downward in the bureaucratic structure which increases the upward orientation of the middle- and lower-managerial elites. This upward orientation increases their separation from faculty and student participants.

Student managerial subsystems tend to focus on procedures and policies and not on students. Most of the students tend to accept the instrumental decisions of these systems. Elites within the student managerial subsystems are similar to the academic managerial elites. Colleges of the university are perceived by faculty members as "little administrative buildings." They are seen as blocking rather than as implementing goal achievements.

Service subsystems are described by Etzioni (11) as utilitarian in compliance and having economic goals. This means a calculative response to remunerative power according to Etzioni's typology. These subsystems are separated from the remainder of the university

and are integrated into the institution at the upper managerial level. This separation is necessary because their goals and orientation are different from the rest of the university. The ends decisions are made at the top of the structure and the means decisions by the middle and lower elites and implemented by lower participants. This process is the opposite of the ideal process for the academic system of the university.

Some of the typical service subsystems are: business, registrar, housing, food service, plant and grounds, book store, printing shop, and janitorial service. Their goals are economic and can be described in specific subgoals that can be measured and evaluated more easily than cultural goals. Service subsystems are more normative than the typical service structure in a business organization due to their interaction with academic and student participants in the university. These service subsystems have a higher level of commitment than similar employees in a business organization.

### Internal System Spanning Subsystems

Internal system spanning subsystems are created or develop to integrate the integral subsystems of the university. They are formally legitimized by the institution and are designed to cross integral system boundaries. They integrate the integral systems vertically and horizontally and function as a part of the decision process. Some are limited to one level, but most involve two or more levels. They may be advisory or have a decision making function.

The primary internal system spanning subsystem is the senate, and is most effective when it is a university senate--that is including administrators, faculty and students.

Face-to-face interaction and discussion provide an effective integrating situation where participants can learn and understand from other participants. Given the bounded rationality of colleges and departments, the representative senate with broad decision making authority can unify a large complex university. This unification also takes place across levels of the university hierarchy.

Councils and committees abound on every university campus. They range from presidential and senate committees to departmental committees. Councils are found on many managerial levels of the university. To be effective they must know their area of responsibility and have the time and resources to solve this area. Committees designed to include a range of viewpoints are more likely to consider the full range of alternatives that are available and to arrive at the most appropriate recommendations or decisions.

The crucial formal internal system spanning unit is the department chairman. He spans the managerial and technical system and is the crucial person in uniting the two systems. He has faculty rank and often teaches, yet faculty members generally perceive him as part of the managerial system. Department chairmen have a wide range of decision making authority and by sharing this with departmental faculty they can develop faculty members and have the advantage of their talents and abilities. As an administrator of the technical system, department chairmen can affect the quality of work significantly.

### External System Spanning Subsystems

There are three areas of formal, external system spanning subsystems. The university lives within its environment and must interact with systems in the environment if it is to survive. The three basic areas of the external system spanning units are: the Board of Regents, the Board of Control, and Trustees. They are normally provided for by the environment for the maintenance and control of the university. Most of these members of such boards are college and university graduates but are active within fields of service other than higher education.

The perceptions by members of the Board of Regents of the goals and purposes of the university are affected by their educational and professional experiences, as well as the political considerations which affected their appointment.

Upper administrators also comprise a subsystem. To span the boundaries they seek to interpret the university to the legislature and to groups in the state and nation. Their speeches and actions are accepted by the general public as representing the university.

The third area of formal, external system spanning subsystems is that of the service and extension agencies. The land grant universities have agricultural experiment stations and extension service personnel who have made a significant influence upon the agricultural development of our nation. Their applied research and extension patterns offer a model for other areas of the university to consider. Colleges of education have begun to use federal and state funds in cooperation with local school systems for research and development. Medical and dental colleges interact with the public daily and represent the university in these contacts. The use of consultants has spread from political science, engineering and architecture to most other colleges and departments in the university. Each consultant becomes an external system spanning unit as he meets and interacts with the world around the university.

#### Semiformal Subsystems

##### Integral Systems

Alumni organizations and student organizations make up the primary semiformal organizations, for they are

connected to the university but are not under administrative control of the university. The integral student subsystems develop around housing and organizational facilities. These include fraternities, sororities, dormitories, off-campus housing, as well as married student housing. The rapid growth of the universities has diminished the effect of the social fraternities and sororities and increased the influence of off-campus and married student subsystems.

The strongest type of power affecting the student semiformal integral subsystem is the social normative power. This power is very strong within specific subsystems for students and less within the general student system. Peer acceptance and a positive peer response are crucial within the life of most university students. It is in being part of his "group" and doing his "thing" that the student finds his identity.

The university administrative structure is designed to provide a process for student help and guidance to the average student, and to provide an instrument for the use of coercive power upon the deviant student. The personnel in this student affairs department are

too few to provide assistance for every student. The assumption, therefore, must be that students will take care of themselves within the rule and procedure framework, and therefore can be ignored. It is when a student acts outside the prescribed procedure that the power available to the structure comes into action. This coercive power produces a dysfunctional result when used in a university, which is a major cause of the increasing student alienation and militancy. The problem arises because student affairs administrators see their goals as order, while the goals of the university are cultural; which may include a certain amount of disorder in order to develop initiative and thought. Students are no longer satisfied to receive just a degree. They feel a necessity to participate in the university and the world around them.

#### Internal System Spanning Subsystems

Student internal system spanning subsystems include several types: governmental, fraternity and sorority, athletics, professional, and social. These subsystems serve to unify segments of the university student body

and to provide them with an opportunity for participation beyond their classes and books. In these internal system spanning subsystems some students find a primary orientation, with the process of education becoming secondary. Intercollegiate athletics provide, on many university campuses, the only university-wide internal system spanning subsystem open to all students. The large numbers of students, faculty, and alumni who gather for a football game are aroused to a high intensity of involvement, which has an effect after the game.

Student committees and joint student-faculty-administrative committees serve to span subsystems both horizontally and vertically. Administrators claim that student participation in joint committees is less than effective because they don't participate as fully as faculty members due to a lack of time, resources and interest. This area must be expanded if the abilities and insights of students are to be utilized for the benefit of the university. One way to accomplish this would be to make credits available to students for effective participation.

In the last year of undergraduate study and during

graduate study many students become participants in professional and honorary fraternities. These are an additional step in the internalization process and serve to help prepare the graduate for his professional field.

Faculty internal system spanning semiformal subsystems are less numerous than student subsystems. These are usually correlated to the departmental subsystems. One type develops around an individual, usually a member with a status position and a larger availability of resources than the average faculty member. Such members have achieved an ascribed charisma as well as national recognition in their professional competence, exceptional interactional ability. Over the years these personal systems have developed as people have built up "political capital" with faculty and administration members, that they can call upon when the situation necessitates.

The American Association of University Professors and the American Federation of Teachers represent a second type of internal system spanning semiformal subsystem. They are also external system spanning. The AAUP has been the traditional faculty system for protection

and promotion of faculty interests and objectives. To the militant faculty member the AAUP is a "paper tiger" and has little teeth to enforce its recommendations. Many administrators and faculty members see the AAUP as an "anti" organization because it is seen as active in opposing an action or policy of the university. This is important as actions or policies being considered by administrators are often changed in order not to arouse the AAUP verbal fire. The AFT, of which John Dewey was an early advocate, represents faculty members who feel the AAUP's power is too limited and too weak, and who desire a stronger course of action, including strikes. Universities who open their subsystems and involve faculty members in meaningful participation in decision making may be less likely to have strong AFT chapters develop.

#### External System Spanning Subsystems

The external system spanning semiformal subsystems are created or develop to span the university boundary into the environment. They are normally composed of four types of participants: faculty, administration,

students and alumni. Alumni organizations are the best known external system spanning semiformal subsystems. They are designed to keep graduates in interaction with their educational institutions and brings the university the resources (funds, time, and talent) that they possess.

Student subsystems are crucial in the area of recruitment. The comments and actions of university students influence potential students in their choice of institutions. Many student governments have formalized this process and provide teams to visit high schools and individual students around the region where the university is located.

Faculty and administrative external system spanning semiformal subsystems are similar in function. The AFT and AAUP not only serve to span subsystems within a university but to span university systems into the environment. This means that power and resources beyond the capability of an individual university are available to the university faculty members. These subsystems bring in additional inputs of information and resources that tend to strengthen the university as a whole and to protect a specific subsystem from internal pressure

from any of the formal compliance systems. This is crucial in allowing for freedom and responsibility of the individual faculty member.

Interinstitutional spanning committees and councils are crucial to the effectiveness of a university and the quality of the graduate output. These systems coordinate the educational process in a university to maintain and increase the quality of graduates, and to prepare students from college, junior college, and high school to intellectually be ready to continue their education. These subsystems are not system protecting subsystems but are rather quality control subsystems which must operate for the university to be most effective.

#### Informal Subsystems

##### Integral Subsystems

The informal integral subsystems are those that develop through mutual interaction. An atmosphere for subsystems can be created by office and facility location. Homans (19) has described how important interaction is to a group, and offices, departments, colleges, and service facilities can be located so as to facilitate

desired action which may result in the development of informal subsystems. Liberal arts and sciences colleges are usually considered to be the prime integrating divisions of a university, and, therefore, their offices and buildings should be central to the institution so that they will have more interaction with a greater proportion of the university. When a college or school is placed across a main road which isolates its members from the main campus, the members will tend to develop a separate subsystem and often a separate culture from the main campus. This will weaken the unity of the university.

The location of a cafeteria or a coffee shop within a college building will tend to increase the faculty and student interaction within the college and building. Where this is not possible, some colleges have provided a coffee room for faculty members which has a similar effect.

The rising intensity of specialization among faculty members and the knowledge explosion are two reasons for universities to plan for this type of integration on a logical and systematic basis.

### Internal System Spanning Subsystems

These informal systems usually develop around issues and philosophies. They are crucial because they cross all other university subsystem boundaries and beyond the university boundary. Such systems may be seen in the conservative old guard, the political liberal activist, the faculty and student militants, both of the "left" and the "right," and in the numerous fellowships and contacts that faculty members, students, alumni and administrators develop. These contacts are extremely crucial in the selection of committee, council and senate members. A person can be nominated only if someone knows and supports him.

### External System Spanning Subsystems

Informal external system spanning subsystems are small informal systems that are fluid and yet dynamic. They come into action as system spanning systems through issues or actions that interest or affect their participants. They are developed over time through the interaction that every university participant has. They are seen primarily in the area of business, professional, social, political, family, and alumni contacts.

### Summary

The typology of university compliance systems provides an analytical framework for understanding the behavioral pattern of university participants. The subsystems of the university can be analyzed and the interactions of the subsystems of the subsystems can be conceptualized without ignoring either aspect. Compliance is an interactional relationship resulting from the multiple dimensions of the university participant. The multiple system memberships of university participants also affect their behavior.

## CHAPTER VI

### Summary

The university can be conceptualized as a living social system with technical, managerial, service, and institutional subsystems that have specialized functions of goal achievement. Boundary spanning subsystems have developed to unite these goal achieving subsystems into an effective functioning whole. Some of these internal boundary spanning subsystems are committees, councils, university senate, department chairmen and deans. The technical subsystems include the faculty and the students. Systems theory provides a framework for conceptualizing the integration of the colleges and departments with the technical and managerial subsystems. Students comprise a subsystem with many sub-subsystems.

Compliance is an interactional relationship with multiple dimensions. The compliance of a university participant begins with his personal orientation and internalized values and norms, but the compliance relationship includes the relationships with peers, superordinates, subordinates, and reference groups.

The orientation of a university participant has two dimensions. The first dimension is philosophical and can be described by the terms developed by Merton (27): "cosmopolitan" and "local." The "locals" identify with the university and the region it serves and see the basic functions of the university as transmitting the cultural values and norms and maintaining and increasing the economic level of the region served by the university. "Cosmopolitans" have an interest in the university and the region it serves, but find their primary orientation in the professional, national, and international systems beyond the university.

The focus of university participant orientation is described by Robert Presthus (13, 36) in three categories: upward-mobile, indifferent, and ambivalent. The combination of Merton's (27) and Presthus' (13,36) concepts into a typology results in six types which describe university participant orientation.

The compliance systems found in universities are of three basic types: formal, semiformal, and informal; and have three areas of scope; integral, internal system spanning, and external system spanning. The types of

compliance systems are analyzed on the basis of their structure, function, and control mechanisms. Internal system spanning subsystems are created or develop to link the integral subsystems into a meaningful whole while external system spanning subsystems link the university to its environment. The major categories of compliance systems were described in Chapter V.

Compliance subsystems provide a framework for understanding and predicting the behavior of university participants and for achieving an overall view of the institution while focusing upon a single area or segment.

#### Observations

During the process of developing the models of university compliance systems, the author made observations about the organization and administration of a complex university and about the orientation of university participants. These observations can be used to provide a basis for developing hypotheses for further study. The model of university compliance systems can be used to generate further research

concerning the administration of universities. The models and observations should be of value to practicing university administrators and members of the faculty.

The observations are numbered from the typology on page 55. For example, observation IA1 relates to the formal integral technical subsystems.

1. The internalization of norms and values is more essential in the technical subsystems than in the service subsystems (IA1).

2. The more echelons in the managerial system the less able are upper administrators to know or understand the needs of lower participants (IA2).

3. The larger the student system the greater the tendency toward entropy within the student system because effective interaction takes place within subsystems of the student system (IIA1).

4. University administrators can create the situation in which informal subsystems can develop through the location of facilities and offices (IIIA).

5. The membership and method of selection of senate and university committee members will determine the range of alternatives considered and the decisions reached (IB).

6. Departments are probably the most important subsystem in the university (IA1).

7. Department chairmen are probably the crucial internal system spanning unit (IB3).

8. Smaller subsystems (departments) are more cohesive than larger subsystems (colleges) because the degree of interaction is heightened (IA1).

9. The traditional monocratic decision making model is dysfunctional in a university system because it reduces functional interaction (IA2).

10. Internal system spanning subsystems are more effective when they span both horizontally and vertically (B).

11. The philosophical and professional orientation of university participants limits their perceptual field (IIIB).

12. Leadership in militant students and faculty groups tends to overlap and to consist of a small core of participants (IIIB3).

13. A board of regents over several universities is less able to meet the needs of a single university and will spend more time mediating between universities (IC1).

14. The more stable a university faculty and administration the greater the degree of entropy (IA).

15. The more open the university to inputs and feedback from the environment the greater the development of the university (IC, IIC, IIIC).

16. The larger the university the larger the number of subsystems and the more segregation between the subsystems.

17. Each system filters the transfer of information from the suprasystem before it passes it on to the subsystem.

18. The amount of effort and energy required to transmit information is increased as the size of the university increases.

19. Participation in decision making by all levels of systems reduces entropy and increases interaction and accuracy of information.

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